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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/933,263	08/20/2001	Daniel J. Eckert	1713-0014

CONFIRMATION NO. 5259

## FORMALITIES LETTER



\*OC00000006587137\*

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JAN 24 2002  
PATENT & TRADEMARK OFFICE  
Harold C. Moore  
Maginot, Addison & Moore  
Bank One Center/Tower  
111 Monument Circle, Suite 3000  
Indianapolis, IN 46204-5115

Date Mailed: 09/21/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

## FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 355 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 420.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. ( 5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

370.00 00  
65.00 0001 FC:201  
02 FC:205

*A copy of this notice **MUST** be returned with the reply.*

sf

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Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Assistant Commissioner for Patents  
Attn.: Box Missing Parts  
Washington, D.C. 20231

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on December 21, 2001  
(Date of Deposit)

Harold C. Moore

Name of person mailing Document or Fee

Signature

December 21, 2001

Date of Signature

Re: Patent Application of: Eckert et al.  
Serial No.: 09/933,263  
Confirmation No.: 5259  
Filed: August 20, 2001  
For: A Method of Managing Risk in a Security Based  
on the Income of a Performer  
Group Art Unit: 2164  
Examiner: To be assigned  
Our Docket No.: 1713-0014

**RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION**

Please find for filing in connection with the above patent application the following documents:

1. Notice to File Missing Parts of Application (copy);
2. Executed Declaration and Power of Attorney;
3. Petition for Extension of Time;
4. Five (5) sheets of Formal Drawings;

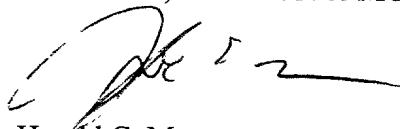
Response to Notice to File Missing Parts  
Page 2

5. Check in the amount of \$475.00, \$355.00 for small entity filing fee, \$65.00 fee for the surcharge, \$55.00 for the Petition for Extension of Time fee; and
6. One (1) return postcard.

Please charge any fee deficiency or credit any overpayment to Deposit Account No. 13-0014, but not to include payment of issue fees.

Respectfully Submitted,

MAGINOT, ADDISON & MOORE



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December 21, 2001

Enclosures